GUIDELINES AND CRITERIA FOR APPOINTMENT AND PROMOTION OF TENURE-TRACK AND TENURED FACULTY
UNIVERSITY LIBRARIES
THE UNIVERSITY OF MEMPHIS

INTRODUCTION

As a collaborator in the process of teaching, research, and public service, the University Libraries provides leadership in the access and use of information through a variety of cooperative and reciprocal programs with other academic communities and libraries in Tennessee, the Mid-South region, and beyond. The University Libraries is committed to equity of access to all types of information in the belief that such access supports the development of intellectual, cultural, and ethical qualities in individuals.

The University Libraries faculty, who are specialists in information education, participate in the teaching, research, and public service programs of the University, regardless of physical location of the activity or information. They provide access to scholarly resources through the acquisition, organization, management, and preservation of the collections and through supportive reference and instruction services. Specialists in these various aspects of library service address many challenges including integrating information resources into the intellectual life of the University, developing instruction programs, teaching library users how to think critically about their information needs, obtaining support for the implementation of new information access technologies, operating multiple information systems simultaneously, training, and retraining University Libraries faculty and staff, and maintaining a leadership role in the state, region, and nation, which maximizes the University's investments in information expertise, resources, and services provided for the students, faculty and staff of the University and the community.

MINIMUM REQUIREMENTS FOR APPOINTMENT AND/OR PROMOTION TO THE RANKS OF ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR, AND PROFESSOR

The librarian's academic preparation for appointment to the University Libraries Faculty is established on the basis of the terminal professional degree. The University Libraries, in accordance with the policy of the Association of College and Research Libraries (ACRL), a division of the American Library Association (ALA), recognizes that "the master's degree from a program accredited by the American Library Association or from a program in a country with a formal accreditation process as identified by ALA's Human Resource Development and Recruitment Office is the appropriate terminal professional degree for academic librarians." (Approved as policy by the Board of Directors of ACRL, a division of ALA on January 23, 1975. Reaffirmed by the ACRL Board of Directors, June 2001 and June, 2007. Modified and reaffirmed by the ACRL

Board of Directors at the Spring Executive Committee Meeting, May 11, 2011. Reaffirmed by the ACRL Board of Directors, April 2018.)

The criteria for appointment, tenure and promotion are designed to reflect the national norms in academic librarianship and to provide motivation for University Libraries faculty members to achieve excellence in their profession. Meeting these requirements does not guarantee a particular outcome but does guarantee serious consideration. Similarly, length of service by itself is no argument for tenure or promotion.

The following constitutes minimal requirements for initial appointment and promotion of tenure-track and tenured faculty at the University of Memphis Libraries.

Assistant Professor.
• Earned master's degree from an ALA-accredited program, in keeping with ALA policy which recognizes that the master's degree in library/information science is the terminal degree in the discipline.
• Evidence of potential ability in librarianship, scholarship/creative activities, and service.
• Evidence of good character, mature attitude, professional integrity, and collegiality.

Associate Professor.
• Earned master's degree from an ALA-accredited program, in keeping with ALA policy which recognizes that the master's degree in library/information science is the terminal degree in the discipline.
• Served at least five years at the rank of assistant professor before applying for promotion during the sixth year. Exceptions to this minimum rank qualification can be approved by the Provost.
• Documented evidence of substantive accomplishments in librarianship, scholarship/creative activities, and service, which is leading to national recognition in librarianship or related area.
• Evidence of good character, mature attitude, professional integrity, and collegiality.

Professor.
• Earned master's degree from an ALA-accredited program, in keeping with ALA policy which recognizes that the master's degree in library/information science is the terminal degree in the discipline.
• Served at least five years at the rank of associate professor before applying for promotion during the sixth year. Exceptions to this minimum rank qualification can be approved by the Provost.
• Documented evidence of accomplishments in librarianship, scholarship/creative activities, and service.
• Documented evidence of sustained high quality professional productivity and national recognition in librarianship or related area.
• Evidence of good character, mature attitude, professional integrity, collegiality, and a high degree of academic maturity and responsibility.

Since there is no higher rank, promotion to professor is taken with great care and requires

a level of achievement substantively beyond that required for associate professor. This rank is not a reward for long service; rather it is recognition of superior achievement within the discipline with every expectation of continuing contribution to the University and the larger academic community.

CRITERIA FOR PROMOTION

Faculty are evaluated on the basis of Librarianship, Scholarship/Creative Activities and Service. Librarianship is the equivalent of the teaching category for faculty whose primary responsibility is instruction. Criteria for promotion are weighted as follows: Librarianship 75%, Scholarship/Creative Activities 15%, and Service 10%. The example activities in the criteria are by their nature not exhaustive, and faculty wishing to include other activities must clearly justify their inclusion in each category. Faculty should document evidence of activities for all criteria for promotion.

Librarianship

Librarianship is central to the purposes and objectives of the University and is to be evaluated, rewarded, and encouraged in ways parallel to those for scholarship/creative activities and service. The performance of the candidate is evaluated from multiple sources as they relate to the librarian's area of specialization. Effective librarianship is an essential qualification for tenure and promotion, neither of which will be granted in the absence of clear evidence of a candidate's ability in librarianship and potential for continued development. Excellence in librarianship is a strong recommendation for both tenure and promotion, though it cannot be considered in isolation from scholarship/creative activities and service.

Effective professional librarianship may include, but is not limited to:

- outstanding performance in the main area of responsibility
- participation in the liaison program
- participating in University Libraries-wide activities, such as promotion of University Libraries' services, resources, programs
- service on University Libraries' committees that is essential to performing the responsibilities of the faculty member's position
- enrolling in professionally-related continuing education activities, including advanced degree programs
- maintaining current awareness through reading professional literature and attending meetings and workshops
- creating outstanding or substantial aids to research.

The effective professional librarian shows initiative, accepts responsibility, and contributes to planning and decision-making. Factors to be considered may include the following: analytical skills; decision-making capability; fairness in instruction and supervision of others; responsible delegation of authority; and independence of judgment and initiative, when appropriate.

Scholarship/Creative Activities

Faculty members of the University Libraries are expected to constructively contribute to the field of librarianship and their areas of specialization through scholarship and/or creative activities. This category includes, but is not limited to, activities that have resulted in the development of new best practices and workflows for some aspect of librarianship. Generally, these activities have yielded a body of knowledge that would potentially be valuable for peers in the field of librarianship. Scholarship and creative activities in non-librarianship fields may be included if they are germane to the faculty member's professional duties, but they should not outweigh those in librarianship. These activities may encompass a variety of venues and publication types and should focus on refereed or reviewed publications and presentations.

Candidates should include records of all activities, for example:

- Publications including textbooks, chapters in books, articles in refereed and non-refereed journals, entries in reference sources, monographs, refereed and non-refereed conference proceedings, book reviews, and related items. Authorship of items listed in the vita should appear in the same order as in the publication.
- Presentations at local, state, regional and international professional meetings or on behalf of professional organizations, such as webinars. Authorship of items listed in the vita should appear in the same order as in the conference program.
- Grant applications submitted, including those that have not been funded. The candidate's role in writing the application and in performing the grant activities should be clear.
- Research in progress. Candidates should provide a clear indication of the status of each project and their role.
- Completed but unpublished scholarship or creative activities. Candidates should provide a clear plan for the project's future and their role.

The University Libraries Tenure and Promotion Committee evaluates scholarship/creative activities on the basis of quality, extent, significance, usefulness, and creativity of the work. It should be emphasized that quality is more important than quantity.

Service

Service is a term encompassing a faculty member's activities in the areas of institutional service, professional service, and outreach.

Institutional (University Libraries and University) service may include:

- service on University Libraries' committees that is not essential to performing the responsibilities of the faculty member's position
- participation in University committees, councils, task forces, and the Faculty Senate
- involvement in the governance of the University or the broader academic community
- participation in University activities such as colloquia and seminars

- teaching optional University for-credit courses outside the University Libraries

Professional service can take many forms. While membership in organizations and attendance at meetings is encouraged, more than membership and attendance is required to demonstrate substantive accomplishments in professional service. Such activities could include:

- serving as an officer in professional organizations
- participating in committees, councils, accrediting bodies, or task forces
- presenting tutorial lectures
- acting as program chair or discussant for professional meetings
- refereeing a competitive papers session
- serving with professional publications
- reviewing grant proposals

Outreach, or service to the community, primarily involves sharing professional expertise with the wider community and should directly support the goals and mission of the University. Community outreach is particularly valuable for an urban institution.

CRITERIA FOR TENURE

The basic criteria for tenure are the same as the requirements for the appropriate faculty rank of the candidate. No faculty member can be granted tenure without meeting the eligibility requirements for Associate Professor or higher rank or having already attained that rank. In addition, the following considerations are relevant to recommendations concerning tenure, but do not imply a right to tenure:

- effectiveness of the candidate's performance as a librarian
- quality of the candidate's institutional and professional service
- quality of the candidate's scholarly/creative activities
- constructive collaboration with colleagues and students
- significance of the candidate's contribution to the growth and development of the University Libraries

Mid-Tenure-Track Review

The University Libraries Tenure and Promotion Committee and the Associate Dean of University Libraries evaluate faculty in tenure-track positions in the spring semester of the faculty member's third year of service in the position. To provide the faculty member information regarding the status of progress toward tenure and promotion, this Mid-Tenure-Track Review is based on materials from the annual evaluations plus any other information supplied by the faculty member as evidence of accomplishments and potential in librarianship, scholarship/creative activities, and service. The format for the Mid-Tenure-Track Review is the same as that for the tenure and promotion consideration but will not involve external peer review.

Faculty are advised to give serious consideration to the comments and suggestions

made as part of the Mid-Tenure-Track Review. A positive Mid-Tenure-Track Review does not guarantee tenure and/or promotion.

RULES AND PROCEDURES FOR TENURE AND PROMOTION

Candidates for tenure and/or promotion are evaluated in terms of librarianship, scholarship/creative activities, and service, which are interrelated and considered collectively. Candidates are urged to become familiar with Section 4. "Tenure-Track and Tenured Faculty Policies" in the University of Memphis *Faculty Handbook*. The University Libraries guidelines and criteria, while consistent with the *Faculty Handbook*, are more specific than University policies and indicate criteria unique to the University Libraries.

The University Libraries annual review policy parallels that contained in the University of Memphis *Faculty Handbook* under Section 4.9. "Faculty Planning and Evaluation." University Libraries faculty are evaluated during each spring semester, in accordance with procedures developed and approved by the Libraries faculty and the Associate Dean of University Libraries. Because the annual review documents librarianship, scholarship/creative activities, and service, it parallels the areas of consideration for tenure and/or promotion and can assist faculty members in gauging their progress toward it. However, satisfactory ratings on the annual evaluations alone do not guarantee tenure or promotion.

Candidates for tenure and/or promotion in the University Libraries are evaluated by the University Libraries Tenure and Promotion Committee and by the Associate Dean of University Libraries. The University Libraries Tenure and Promotion report accompanies the application throughout the process. Recommendations from the Committee and the Associate Dean of University Libraries will be forwarded to the Provost.

Guidelines

At the heart of the tenure and promotion process is the need (a) to articulate specific requirements for tenure and for promotion, (b) to inform tenure-track faculty yearly as to their progress, and (c) to communicate these criteria to the Associate Dean of University Libraries and the Provost. Accountability for implementing this process begins at the University Libraries level with clearly defined guidelines and criteria for the assessment of faculty for tenure and promotion.

These guidelines have been developed and reviewed by the University Libraries Faculty and the Associate Dean of University Libraries and approved by the Provost. The guidelines serve as the basis of the annual evaluation and promotion processes that all tenure-track faculty must follow. The guidelines are provided to tenure-track faculty members at the time they join the University Libraries and must be referred to regularly, particularly at the time of the Mid-Tenure-Track Review and at the time of application for tenure and/or promotion. These guidelines are discipline specific, although in

harmony with the general University guidelines. They contain the specific criteria and procedures for tenure-track faculty assessment and are updated as needed.

In addition to the information in this document, the University Libraries tenured faculty assist tenure-track faculty through a mentor program directed by the Chair of the University Libraries Tenure and Promotion Committee. The Committee will coordinate annually the assignment of a mentor for each tenure-track faculty member. The Chair shall also provide tenure-track faculty the opportunity for yearly meetings with the University Libraries Tenure and Promotion Committee to discuss these guidelines and make recommendations towards achieving the requirements for tenure and promotion.

Eligibility for Tenure and/or Promotion

A faculty member on tenure track with the rank of assistant professor or higher who has completed five of the six full academic years of their probationary period (unless otherwise prescribed in writing and approved by the Associate Dean of University Libraries and the Provost) must make application for tenure. Candidates for tenure must meet eligibility requirements for promotion to at least associate professor or have already attained that rank. Typically, the tenure-track faculty member must declare their intent to apply for tenure and promotion in the spring semester (April) of their fifth academic year at rank and file the tenure dossier in the fall semester (September) of their sixth academic year.

Tenure

Tenure applications receive one of two responses: tenure may be granted or tenure may be denied. Re-application for tenure is not possible and the seventh year, or other final year following application for tenure, will be terminal if tenure is denied.

In some circumstances, faculty may be hired at the rank of associate professor or full professor, rather than at the rank of assistant professor. Unless the faculty negotiates tenure upon appointment, they will not be immediately granted tenure and will need to apply for tenure after completing a certain number of years of service (to be determined at the time of hire). To receive tenure, the candidate must meet the same eligibility requirements as for promotion to associate professor. This is true for those who are hired at the rank of associate professor or full professor.

Promotion to Full Professor

Faculty members may apply for promotion to full professor whenever they believe they meet the established criteria. Per the *Faculty Handbook* (Section 4.3), when applying for promotion to full professor a faculty member must have served at least five years at the rank of associate professor. Faculty members should be well recognized in their specific area of expertise at the time of application—viewed as having national recognition and having contributed substantial research contributions to the specific field of study. Faculty members are advised, but not required, to confer with the Associate Dean of

University Libraries in the spring semester (before the April deadline to declare intent to apply for promotion) regarding eligibility before submitting applications for promotion in the following fall semester (September).

Tenure and/or Promotion Application Calendar

The Provost of the University establishes the calendar for tenure and promotion decisions. The Associate Dean of University Libraries informs Libraries faculty of this calendar. The faculty member must make a formal application for tenure and/or promotion to the Associate Dean of University Libraries who informs the Chair of the University Libraries Tenure and Promotion Committee of that application. In the event no application is received at the appropriate time for a faculty member to apply, the Committee and the Associate Dean of University Libraries still need to make a recommendation, so the review would be conducted absent the application. Each faculty member in a full-time University Libraries tenure-track position is considered for tenure in the fall semester of the sixth year.

The Associate Dean of University Libraries, the Provost, and the President must approve exceptions to this schedule in writing at the time of hiring. These exceptions may include tenure upon appointment or expedited tenure consideration, and early tenure consideration. Tenure upon appointment, or expedited tenure consideration which takes place immediately after a person's appointment, follows the normal review process but uses documentation submitted during the hiring process rather than the usual dossier. Early tenure consideration takes place prior to the fall of the sixth year but follows the usual dossier submission and review process.

Preparing for Tenure and/or Promotion

Candidates for tenure and/or promotion should work closely with the appropriate University Libraries Department Head and/or the Associate Dean of University Libraries to define goals and to establish documented evidence of effectiveness to be sure that they are meeting the obligations and performing at the level of expectation of the University Libraries and the University of Memphis. Faculty are responsible for collecting and keeping track of evidence of effectiveness that will be included in the Supplemental Materials in their dossier.

Dossier

General procedures designed to establish a minimal degree of uniformity for tenure and/or promotion dossiers across the University are in The University of Memphis *Faculty Handbook* (Section 4.9.7B). It is the responsibility of each candidate to document the nature and extent of involvement in activities relevant to the judgments being made. Leadership roles and accomplishments during the performance of these activities should be detailed and supported with documents by the candidate and/or testimonials from other participants or observers. Professional recognition for service performed should be included. In preparing the dossier, candidates should seek help

from their mentor and colleagues, particularly those who serve on the University Libraries Tenure and Promotion Committee.

External Peer Review

Applications for tenure and/or promotion to associate or full professor require external peer review. The purpose of external peer reviews is solely to provide an informed objective evaluation of the quality of the scholarship and/or creative activity of the candidate. External reviewers must have faculty status at or above the rank proposed for the candidate. The candidate will begin developing a list of four to eight external reviewers during the spring semester preceding the fall semester tenure and promotion process. Using the candidate's list, the University Libraries Tenure and Promotion Committee and the Associate Dean of University Libraries develop the final list of external peer reviewers. To minimize biases for or against the candidate in the selection of qualified reviewers, the final list includes names from the candidate's list and from one prepared by the University Libraries Tenure and Promotion Committee in consultation with the Associate Dean of University Libraries. The candidate may also submit a list (with justifications) of persons who may pose a conflict for consideration by the Tenure and Promotion Committee and Associate Dean of University Libraries. The potential external reviewer must be informed that the State of Tennessee has an Open Records Law and the candidate may request access to the external peer evaluation document.

The Tenure and Promotion Committee

The University Libraries Tenure and Promotion Committee reviews tenure and/or promotion dossiers of faculty. The Committee to review tenure-track and tenured faculty dossiers comprises all tenured faculty at the rank being applied for or above, except the Associate Dean of University Libraries. Candidates for tenure and/or promotion are not eligible to serve on the Committee. The Committee elects its own chair.

The majority of the responsibility for appraising a candidate rests with the University Libraries Tenure and Promotion Committee. The Committee gives serious and fair consideration to all candidates for tenure and/or promotion, thoroughly evaluating their activities in librarianship, scholarship/creative activities, and service, and supporting evidence. After taking a formal, anonymous vote on the tenure and/or promotion of each candidate (with a simple majority required for the Committee's recommendation), the Committee delivers to the Associate Dean of University Libraries a detailed recommendation, rationale, and an exact vote count. A written minority opinion may be included.

Approved by Libraries Faculty	**May 4, 2023**
Approved. John Evans, Associate Dean & Executive Director	**May 22, 2023**
Approved by the Provost on	**May 24, 2023**